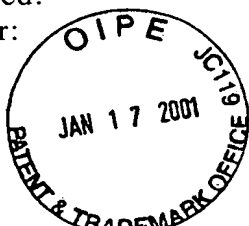


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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE** JAN 22 2001

In re application of: Thomas C. Naratil      Group Art Unit: 2161      **Technology Center 2100**  
Serial No.: 09/688,392      Examiner: Not yet assigned  
Filed: October 16, 2000      Docket No. 4034-20  
For: **SYSTEM AND METHOD FOR TRADING TAXABLE  
AND NON-TAXABLE SECURITIES**



Morristown, New Jersey 07962  
January 12, 2001

Hon. Commissioner of Patents and Trademarks  
Washington, DC 20231

Sir:

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §1.97(b)**

In accordance with the duty of disclosure under 37 CFR. §1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the following documents, which are listed on the attached PTO-1449 Form. The Examiner may deem these documents to be relevant to patentability of the claims of the above-identified application. A copy of each of the documents is enclosed for convenience of the Examiner.

The submission of the listed documents is not intended as an admission that any of the documents constitutes prior art against the claims of the present application. Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

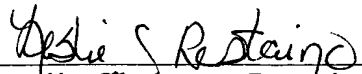
Applicants respectfully request that the listed documents be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO-1449 be returned in accordance with MPEP §609.

It is understood that no fee is necessary for submission of this Information Disclosure Statement, as it is being filed before the later of three months from the filing date or the mailing of the first Office Action on the merits.



The Commissioner is hereby authorized to charge payment of any fees associated with this application or credit any overpayment to Deposit Account No. 50-0444.

Respectfully submitted,

  
Leslie Gladstone Restaino  
Reg. No. 38,893


Enclosures

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(973) 538-0800

Dated: January 12, 2001

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**Angela L. Gehring**  
*Printed or typed name of the person signing the certificate*

**January 12, 2001**  
*Date*

2161

Please type a plus sign (+) inside this box →

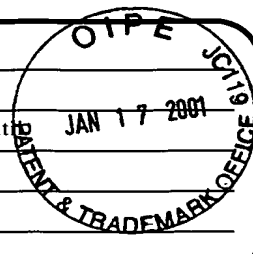

 PTO/SB/21 (8-00)  
 Approved for use through 10/31/2002. OMB 0651-0031  
 Patent and Trademark Office U.S. Department of Commerce

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/688,392
Filing Date	October 16, 2000
First Named Inventor	Thomas C. Naarath
Group Art Unit	2161
Examiner Name	Not yet assigned
Attorney Docket Number	4034-20



## ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
  - ☐ Fee Attached
- ☐ Petitions to the Commissioner
- ☐ Request For Corrected Filing Receipt With A Copy Of the Official Receipt
- ☐ Amendment/Reply
  - ☐ After Final
  - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement Form PTO-1449  
32 References
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
  - ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s) - \_\_\_ Sheets
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Small Entity Statement
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☐ Withdrawal of attorney as Attorney or Agent
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## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Leslie Gladstone Restaino, Reg. No. 38,893		
Signature			
Date	January 12, 2001		

## CERTIFICATE OF MAILING

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Type or printed name	Angela L. Gehring		
Signature		Date	January 12, 2001

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